Performance

Professional Development

Personal Development

Leadership

Certifications and Qualifications

Performance

Recruit Apprentice Journeyman Master

E X C E L

CAPT Tom Broderick, Program Manager
LCDR Mark Bourne, Project Officer

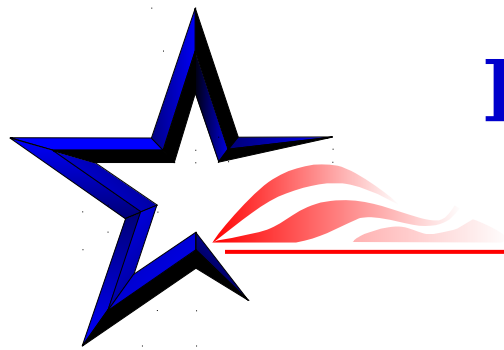**Navy Personnel Command, Millington**

"I need a personnel system that is compete in the 21st century marke
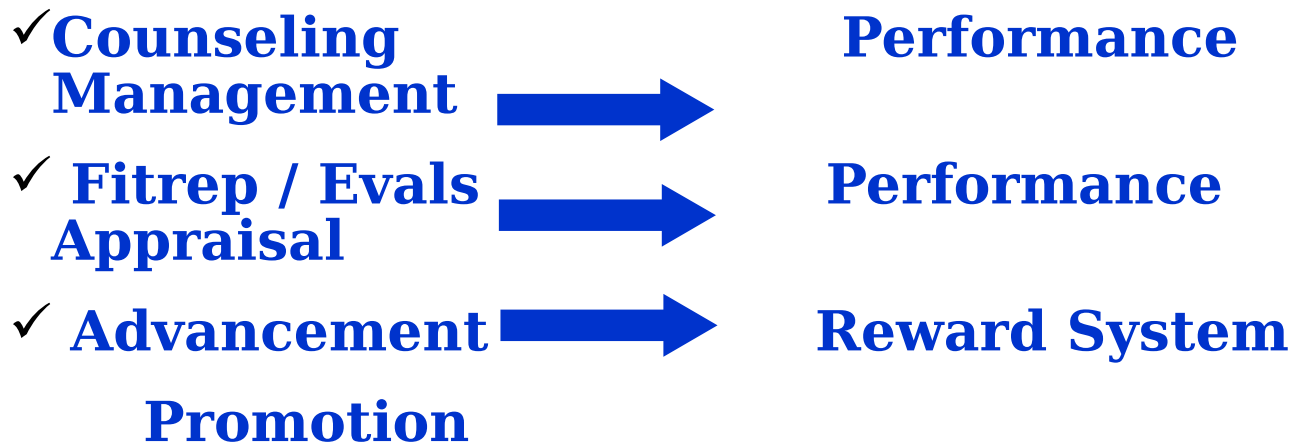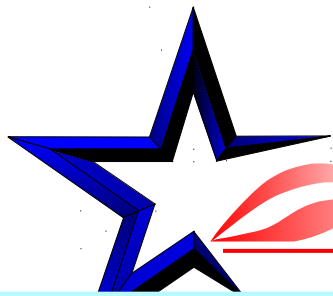
CNO, 9 May 03

Performance Vector: Strategy

CNO Transformational Task:

• Navy's Organizational Foundation:

   - Cultural values define acceptable behaviors, values and organizational norms.

   - These values were defined by the Fleet…Not HQ.
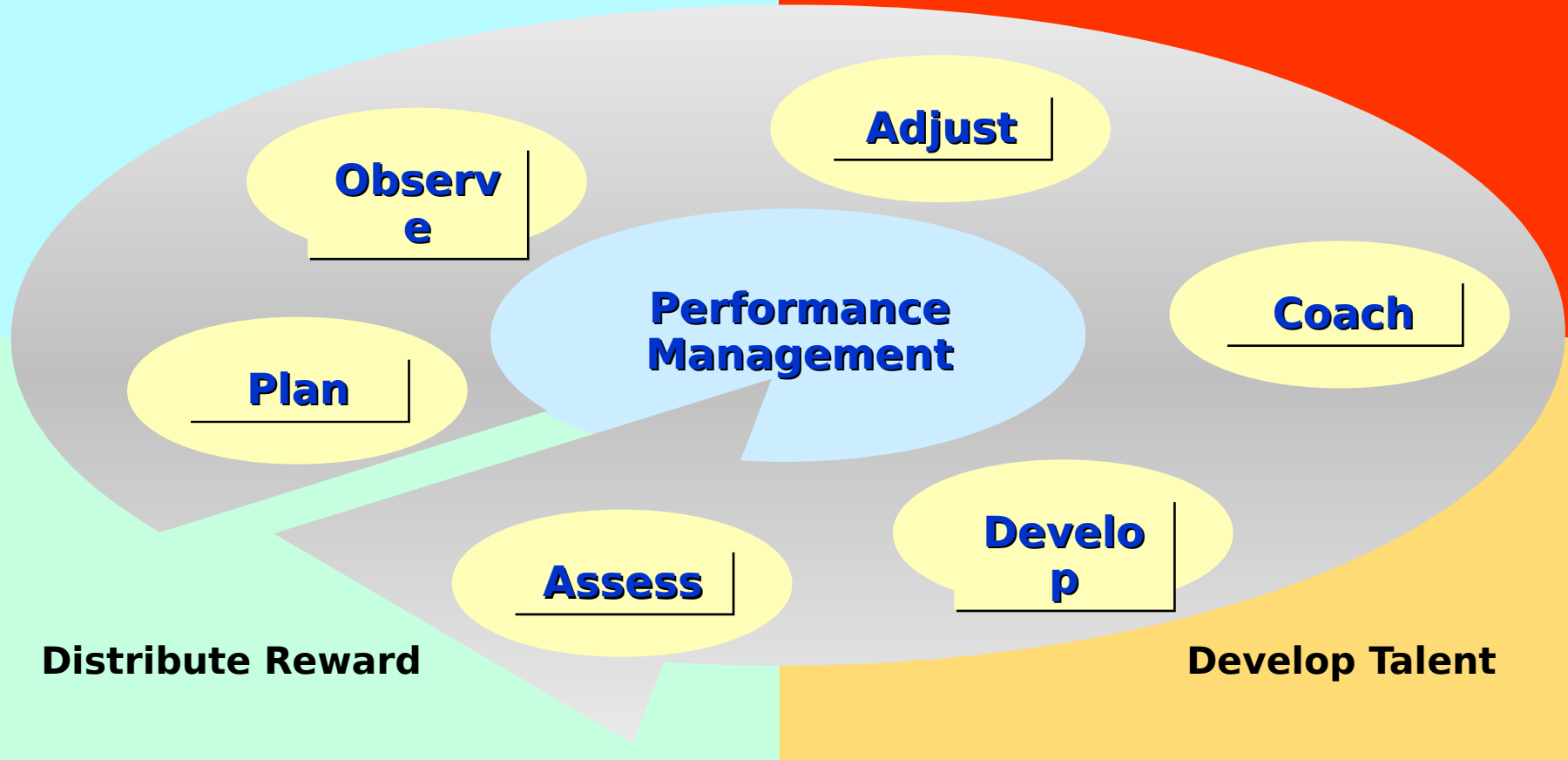
   - Culture needs to link <u>all</u> HR activities:

   ✓**Counseling**   **Performance Management** ➡️

   ✓ **Fitrep / Evals**   **Performance Appraisal** ➡️

   ✓ **Advancement** ➡️ **Reward System**

        Promotion

What is Performance Management?

Manage Careers

Plan Succession

Adjust

Observe

Performance Management

Coach

Plan

Develop

Assess

Distribute Reward

Develop Talent

Human Performance System Model

I. Define Req...

Periodic Review

II. Define Solutions

Performance Analysis

Establish Performance Standards & Requirements

Design Human Performance Solutions

Integrate, Validate

Develop Tools

Implement & Test Intervention; Evaluate "Product of Process"

Develop, Build, & Integrate Tools

IV. Execute & Measure

III. Develop Components
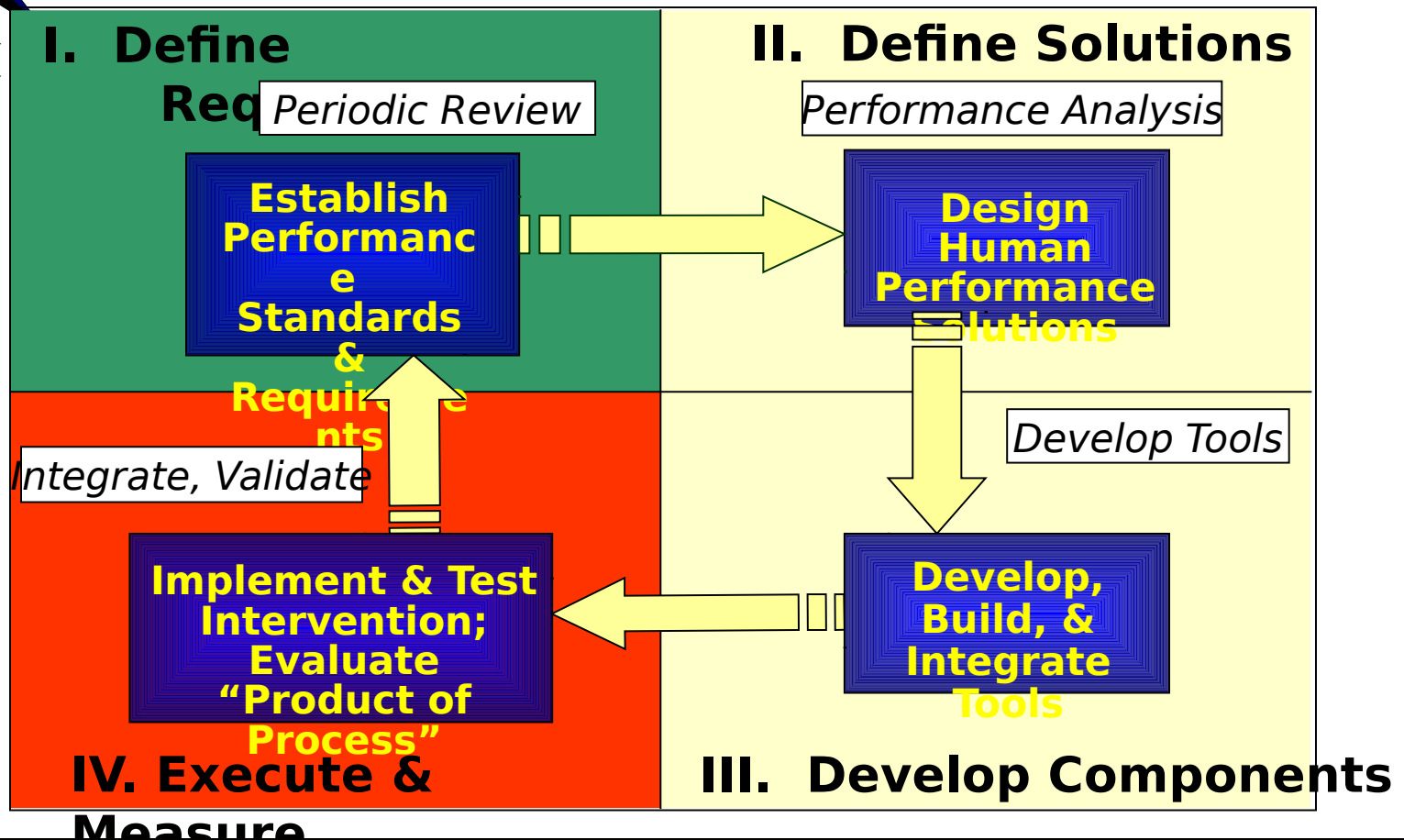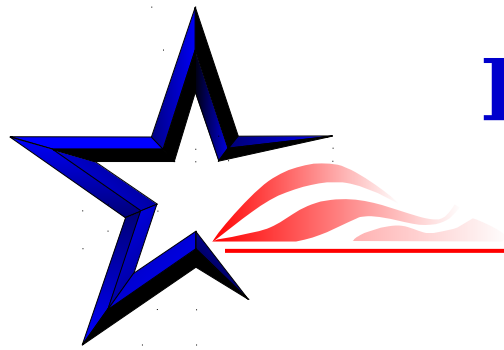
The fundamental process that underlies the Revolution in Training
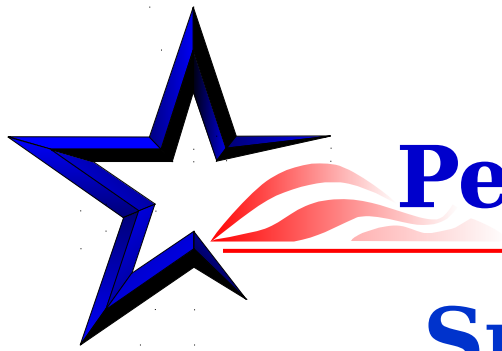
Performance Vector: Methods

- Assembled team of five doctoral level Research Psychologists with nationally recognized publications in performance appraisal.

- Conducted 24 water-front focus groups with over 190 personnel to identify job dimensions.

- Sorted 1500+ dimensions into similar categories. Psychologists then used statistical methods to refine dimensions.

- Result was 9 general areas for Non-Supervisory and 9 general areas for Supervisory jobs:

Performance Vector: Results
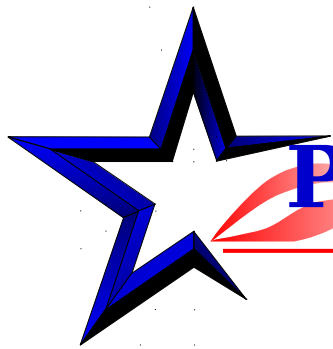
Non-Supervisory Job-Dimensions

- Cooperation

- Task Proficiency

- Adaptability

- Knowledge / Support of Command Objectives

- Problem Solving

- Work Ethic

- Communicating Effectively

- Integrity / Honesty

- Initiative and Self-Development

Performance Vector: Results

Supervisory Job-Dimensions

- Mission Accomplishment

- Coaching / Mentoring

- Embracing Personal & Professional Development

- Resource Stewardship

- Communication Skills

- Displaying Integrity & Professionalism

- Leading Change

- Leading People

- Organizational Savvy

Performance Vector: Results

- Validation study reproduced same results with 97.4% accuracy for Non-Supervisory job dimensions.

- Validation study reproduced same results with 99.2% accuracy for Supervisory job dimensions.

- A menu of "Targeted Areas for Performance" will help define each job dimension.

  - This is <u>not</u> a check-list

  - Defines behaviors as standards

  - Clear expectation for future performance

  - Facilitates dialog & feedback
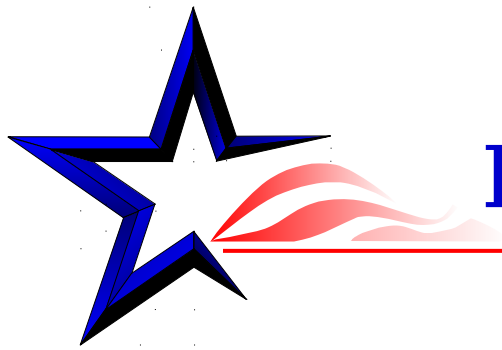
Benchmarking Study

- Industry and DoD / DoT Best Practices:

  - Performance Counseling

  - Performance Appraisal

  - Promotion Systems

  - Cultural Change Management

- Air Force, Army, Marine Corps & Coast Guard

- Alaris Medical Systems, Gateway Computers, QualComm & Cymer

1
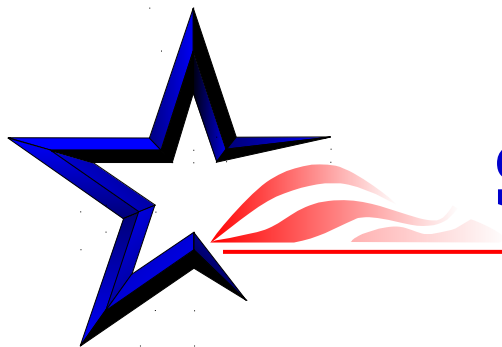
Select Employees

Performance Document Creation

Select Employees

Enter the as of date for the selection of direct reports and click Go. Select the checkbox next to an employee's name or click Select All to initiate performance documents for all of your direct reports. Click Continue once you have selected all the employees who will be part of this document creation process.

Transaction Effective Date   05/27/2003 🗓   Go

Direct Reports For Thomas Broderick				Find First ◀ 1-9 of 9 ▶ Last	
Select	**Name**	**EmplID**	**Job Title**	**Department**	
☐	Alvin Edwards	9923	IT	MILL	
☐	Andrew Bond	8381	IT	MILL	
☐	Andrew Pollard	5143	IT	MILL	
☐	Anthony Cade	3912	IT	MILL	
☐	Barry Pugh	6425	IT	MILL	
☐	Carmel Belanger	9770	6510	MILL	
☐	Christopher Batman	3850	2505	MILL	🔩
☐	Coye Allshouse	7591	IT	MILL	
☐	Mark Bourne	0866	2300	MILL	🔩

Select All   Search for an employee

Continue

1

Maintain Performance Document

Andrew Pollard

Enter ratings and result statements for each section containing performance criteria. You can edit the performance criteria by clicking the Update Criteria hyperlink if available. Save entries made on the performance document by clicking the Save for Later button. Once complete, save and if applicable, submit the document for approval by clicking the Submit for Approval button.

Performance Document

Document Type:	HPFD Session	**Document ID:**	1941
Author Type:	Manager	**Template ID:**	HPFDNSPR
Author:	Thomas Broderick	**Employee ID:**	5143
Begin Date:	11/24/2003	**Due Date:**	05/23/2004
End Date:	05/23/2004	**Document Status:**	In Progress
Job Title:	Information SystemsTechnicia	**Approval Status:**	Not Required
Paygrade:	E7		

Expand All Sections   Collapse All Sections

▶ Performance - NonSupervisor

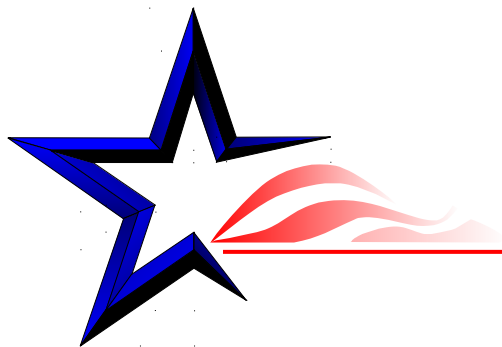▶ Overall Comments

Create Employee Document

Check Language

Calculate All Ratings

Save for Later   Available for Review

1

Create HPFD Document

Create Performance Documents

Below is a list of employees that you selected for Performance Document Creation.
Complete the information in the *Document Creation Details* section below, then click the **Create Documents** pushbutton to generate documents for these employees.

Document Creation Details

Document Type:	HPFD	**Template ID:**	HPFDSUPR
Period Begin Date:	11/24/2003	**Period End Date:**	05/23/2004

Create Documents

Selected Employees

Employee ID	Last Name	First Name	Job Title
5143	Pollard	Andrew	Information SystemsTechnicia

Return to Select Employees

Go To: Manager Home

Performance Management Home

Save for Later   Available for Review

HPFD Supervisor Behaviors

Maintain Performance Document

Carmel Belanger

Enter ratings and result statements for each section containing performance criteria. You can edit the performance criteria by clicking the Update Criteria hyperlink if available. Save entries made on the performance document by clicking the Save for Later button. Once complete, save and if applicable, submit the document for approval by clicking the Submit for Approval button.

Performance Document

Document Type:	Annual Performance Appraisal 1	**Document ID:**	1942
Author Type:	Manager	**Template ID:**	SUPERPA
Author:	Thomas Broderick	**Employee ID:**	9770
Begin Date:	05/27/2002	**Due Date:**	05/27/2003
End Date:	05/27/2003		
Job Title:	LDO-Supply Corps		
Paygrade:	O4		

Expand All Sections   Collapse All Sections

Performance - Supervisor

▶ Mission Accomplishment

▶ Coaching/Mentoring

▶ Leading People

▶ Communication Skills
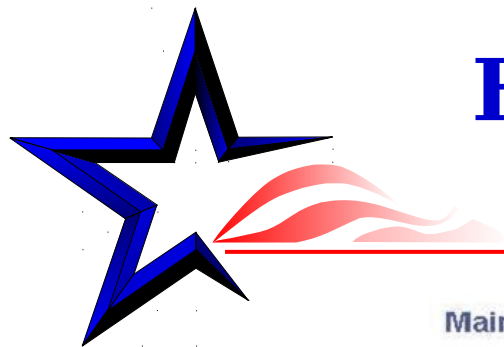
▶ Integrity and Professionalism

▶ Resource Stewardship

▶ Leading Change

▶ Embrace Pers & Profess Develop

▶ Displaying Organization Savvy

Performance - Supervisor Summary

1

HPFD Non-Supervisor Behaviors

Maintain Performance Document

Andrew Pollard

Enter ratings and result statements for each section containing performance criteria. You can edit the performance criteria by clicking the Update Criteria hyperlink if available. Save entries made on the performance document by clicking the Save for Later button. Once complete, save and if applicable, submit the document for approval by clicking the Submit for Approval button.

Performance Document

Document Type:	HPFD Session	**Document ID:**	1941
Author Type:	Manager	**Template ID:**	HPFDNSPR
Author:	Thomas Broderick	**Employee ID:**	5143
Begin Date:	11/24/2003	**Due Date:**	05/23/2004
End Date:	05/23/2004	**Document Status:**	In Progress
Job Title:	Information SystemsTechnicia	**Approval Status:**	Not Required
Paygrade:	E7		

Expand All Sections   Collapse All Sections

▼ Performance - NonSupervisor

Update Performance - NonSupervisor Criteria

▶ Knowl/Suppt of Unit Objectives

▶ Task Proficiency

▶ Work Ethic

▶ Initiative & Self-Development

▶ Integrity/Honesty

▶ Problem Solve/Decision Make

▶ Adaptability/Flexibility

▶ Cooperation

▶ Communicating Effectively

▶ Overall Comments

1

HPFD Behavior Description

Target Behaviors

Task Proficiency

Target Behaviors

- Uses time efficiently (i.e., does not waste time when working on tasks or assignments)
- Completes tasks on time and consistently meets or exceeds task requirements
- Displays appropriate attention to detail and ensures that things do not slip through the cracks
- Puts forth the effort required to complete tasks efficiently and effectively
- Effectively prioritizes assignments based on time requirements
- Provides required information, materials, or products to others in a timely manner
- Uses time efficiently (i.e., does not waste time when working on tasks or assignments)

Return

Annual Performance Appraisal Document Sections

Maintain Performance Document

Carmel Belanger

Enter ratings and result statements for each section containing performance criteria. You can edit the performance criteria by clicking the Update Criteria hyperlink if available. Save entries made on the performance document by clicking the Save for Later button. Once complete, save and if applicable, submit the document for approval by clicking the Submit for Approval button.

Performance Document

Document Type:	Annual Perf Appraisal Final	**Document ID:**	1944
Author Type:	Manager	**Template ID:**	SUPERAVG
Author:	Thomas Broderick	**Employee ID:**	9770
Begin Date:	05/27/2002	**Due Date:**	05/27/2003
End Date:	05/27/2003		
Job Title:	LDO-Supply Corps		
Paygrade:	O4		

Expand All Sections   Collapse All Sections

▶ Performance - Supervisor

▶ Rater 1 Comments

▶ Rater 2 Comments

▶ Approver Comments

▶ Employee Comments

▶ Final Approver Endorsement

Return to Performance Document Approval

Go To: Printable Performance Document

Career Planning

1

Performance Appraisal Average Document

Carmel Belanger

Enter ratings and result statements for each section containing performance criteria. You can edit the performance criteria by clicking the Update Criteria hyperlink if available. Save entries made on the performance document by clicking the Save for Later button. Once complete, save and if applicable, submit the document for approval by clicking the Submit for Approval button.

Performance Document

Document Type:	Annual Perf Appraisal Final	**Document ID:**	1944
Author Type:	Manager	**Template ID:**	SUPERAVG
Author:	Thomas Broderick	**Employee ID:**	9770
Begin Date:	05/27/2002	**Due Date:**	05/27/2003
End Date:	05/27/2003		
Job Title:	LDO-Supply Corps		
Paygrade:	O4		

Expand All Sections   Collapse All Sections

▼ Performance - Supervisor

▶ Mission Accomplishment: 3.5

▶ Coaching/Mentoring: 4

▶ Leading People: 4.5

▶ Communication Skills: 3

▶ Integrity and Professionalism: 3.5

▶ Resource Stewardship: 4

▶ Leading Change: 4

▶ Embrace Pers & Profess Develop: 3.5

▶ Displaying Organization Savvy: 4.5

Performance - Supervisor Summary

Numeric Rating:	3.84

Performance Appraisal
## Comments on Average Document

Performance - Supervisor

▶ Mission Accomplishment: 3.5

▶ Coaching/Mentoring: 4

▶ Leading People: 4.5

▶ Communication Skills: 3

▶ Integrity and Professionalism: 3.5

▶ Resource Stewardship: 4

▶ Leading Change: 4

▶ Embrace Pers & Profess Develop: 3.5

▼ Displaying Organization Savvy: 4.5

Description: Having a thorough understanding of military regulations and initiatives and carrying them out in accordance with Navy standards; following policies, regulations, and orders, and defending them to subordinates; understanding the chain of command, and accepting and respecting the decisions of superiors; displaying appropriate courtesies to superiors, peers and subordinates; understanding how policies and actions fit into the overall mission scheme.

Rating Descriptions
Numeric Rating: 4.50

Comments: Comments by Thomas Broderick.

Comments by Wash Carthon: very impressive

Performance - Supervisor Summary

Numeric Rating: 3.84

Rating Descriptions

Displaying Organization Savvy

Rating Descriptions	Find	First ◀ 1-3 of 3 ▶ Last

Review Rating: 1 or 2

Description: Lacks understanding of even basic military regulations and initiatives, and is not interested in engaging in actions necessary to learn them; may violate policies and regulations resulting in negative consequences (e.g., damaged equipment, delayed project completion); frequently disregards the chain of command and is not properly respectful of superiors, peers, or subordinates; makes little or no attempt to understand how policies or own actions fit into the overall mission of the Navy or Command

Review Rating: 3 - 5

Description: Possesses a basic understanding of military regulations and initiatives; follows most policies and regulations appropriately, and usually ensures that subordinates follow them as well; for the most part, knows when and how to effectively use the chain of command, and displays appropriate courtesies to superiors, peers, and subordinates; understands how policies and actions fit into the overall mission of own unit, but does not always see the link to the overall mission of the Navy and Command.

Review Rating: 6 or 7

Description: Maintains a thorough awareness of military regulations, policies, and initiatives and always carries them out in accordance with Navy standards; always ensures that subordinates follow policies, regulations, and orders; possesses a thorough understanding of the chain of command and displays appropriate courtesies to superiors, peers, and subordinates; understands how policies and actions fit into the overall mission of the Navy and the Command, and uses this understanding to accomplish work tasks efficiently and effectively.
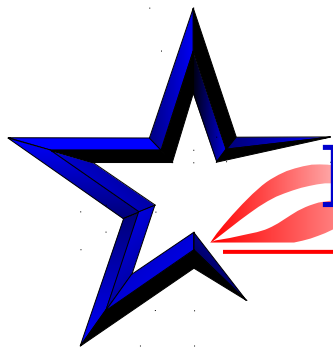
Rater Statistical Summary

Rater Statistics by Grade

Rating Distribution By Grade for Communication Skills

Rater Statistics by Job Code/Designator

Rating Distribution By Job Code for Communication Skills, Grade O3
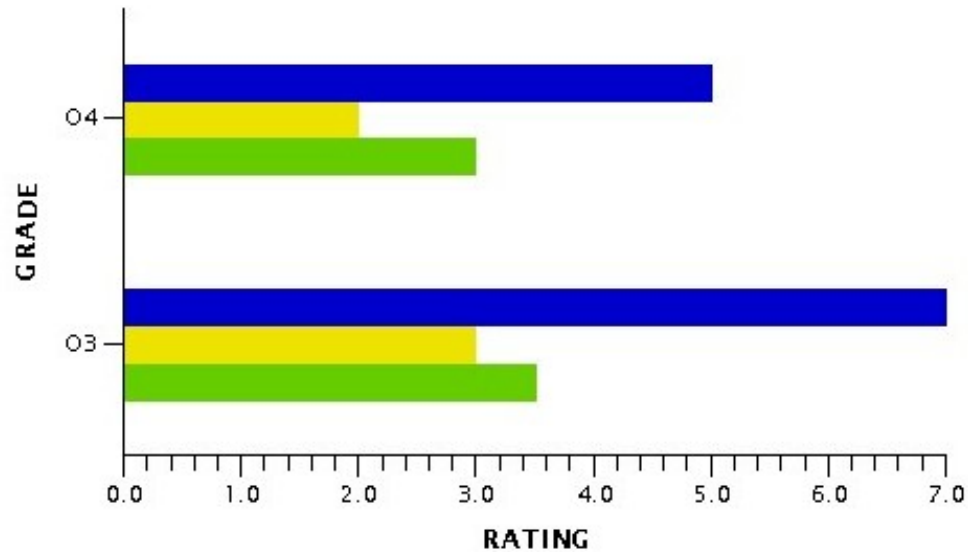
Average Rating Minimum Rating Maximum Rating

Return
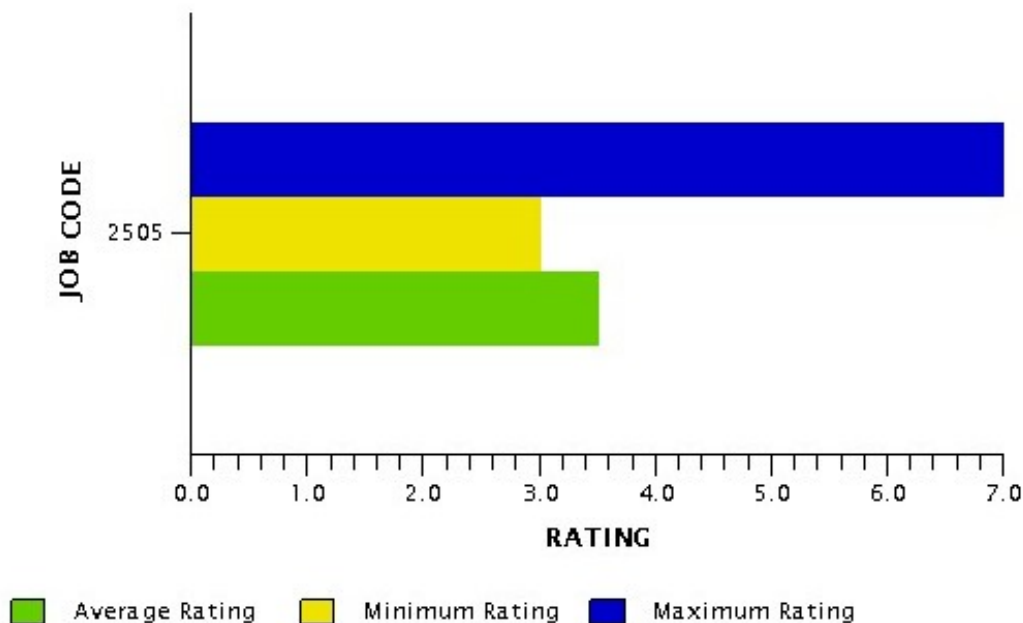
Performance Vector: Tactics

- **Performance Management:**
  - Human Performance Feedback and Development (HPFD)
  - NSIPS/PeopleSoft e-Performance 8.8
  - Implementation Jul 03

- **Performance Appraisal:**
  - Supervisor & Non-Supervisor Documents
  - Uses HPFD Behavioral Performance Dimensions
  - NSIPS/PeopleSoft e-Performance 8.8
  - Implementation Jul 04

- **Reward System:**
  - Create standardized measure of Performance
  - Implementation Oct 03

Performance Vector: Reward System

Current System

- Enlisted Evals use Forced Distribution rating as data source…not average of traits like Officers.
    - * Subjective vs. Objective rating systems.
    - * Measure of performance or index of organizational tenure?

- "Hard" vs. "Easy" graders throughout career.
    - * Relative position to reporting senior's average.
    - * Promotion Boards try to interpret meaning to this pattern.
    - * *What is the Reporting Senior trying to say?"*

- Is the current system the most accurate portrait of performance throughout a career?

Performance Vector: Reward System

Future System

- Employ use of Standardized Scores on trait average.

  * Long history of use in education and testing

- Defining characteristics:

  * Defines distance between grade and reporting senior's average.

  * Ignores relative position of high vs. low scores.

  * Evens-out effect of "hard" vs "easy" graders.

- More accurate measure of performance over time.

  * *Improvement in Navy's HR reward system*

- Increases trust that the "system" is fair and unbiased.

```
DESCRIPTIVES
 VARIABLES=rsa1998  /SAVE
 /STATISTICS=MEAN STDDEV MIN MAX .
DESCRIPTIVES
 VARIABLES=rsa1999  /SAVE
 /STATISTICS=MEAN STDDEV MIN MAX .
DESCRIPTIVES
 VARIABLES=rsa2000  /SAVE
 /STATISTICS=MEAN STDDEV MIN MAX .
DESCRIPTIVES
 VARIABLES=rsb2001  /SAVE
 /STATISTICS=MEAN STDDEV MIN MAX .
```

- ***CREATES STANDARD SCORE FOR LAST 5 YEARS FOR ALL SAILORS***

```
DESCRIPTIVES
 VARIABLES=rsb2002  /SAVE
 /STATISTICS=MEAN STDDEV MIN MAX .
COMPUTE TRSA1998 = (zrsa1998 * 10) + 50 .
VARIABLE LABELS TRSA1998 'T SCORE FOR RSA 1998'
COMPUTE TRSA1999 = (zrsa1999 * 10) + 50 .
VARIABLE LABELS TRSA1999 'T SCORE FOR RSA 1999'
COMPUTE TRSA2000 = (zrsa2000 * 10) + 50 .
VARIABLE LABELS TRSA2000 'T SCORE FOR RSA 2000' .
COMPUTE TRSB2001 = (zrsb2001 * 10) + 50 .
VARIABLE LABELS TRSB2001 'T SCORE FOR RSB 2001' .
COMPUTE TRSB2002 = (zrsb2002 * 10) + 50 .
VARIABLE LABELS TRSB2002 'T SCORE FOR RSB 2002' .
```

- ***NORMALIZES SCORE ACROSS ALL YEARS AND DIFFERENT REPORTING SENIORS***

```
RANK
 VARIABLES=zrsa1998 zrsa1999 zrsa2000 zrsb2001 zrsb2002  (A)
 /PERCENT into prsa1998 prsa1999 prsa2000 prsb2001 prsb2002
 /PRINT=YES
 /TIES=LOW .
```

- ***CONVERTS SCORE TO A PERCENTILE FOR EASY INTERPRETAION***

File   Edit   View   Analyze   Graphs   Utilities   Run   Window   Help

```
RECODE
  idrsa
  (1000=1)  (ELSE=2)  INTO  rsa .
VARIABLE LABELS rsa 'REPORTING SENIOR A SUMMARY'.
VALUE LABELS rsa 1 'SAILOR' 2 'PEER GROUP'.
RECODE
  idrsb
  (1000=1)  (ELSE=2)  INTO  RSB .
VARIABLE LABELS RSB 'REPORTING SENIOR B SUMMARY'.
VALUE LABELS RSB 1 'SAILOR' 2 'PEER GROUP'.
```

- *COMPARES INDIVUAL SAILOR AGAINST PEER GROUP*

```
SUMMARIZE
  /TABLES=trsa1998 trsa1999 trsa2000 trsb2001 trsb2002  BY rsa BY rsb
  /FORMAT=NOLIST TOTAL
  /TITLE='Case Summaries'
  /MISSING=VARIABLE
  /CELLS=COUNT MEAN STDDEV .
```

- *CREATES GRAPHIC OF COMPARISO FOR FUTURE SELECTION BOARD*

```
USE ALL.
COMPUTE filter_$=(idrsa = 1000 OR idrsb = 1000).
VARIABLE LABEL filter_$ 'rsa = 1000 OR rsb = 1000 (FILTER)'
VALUE LABELS filter_$  0 'Not Selected' 1 'Selected'.
FORMAT filter_$ (f1.0).
FILTER BY filter_$.
```

- *SELECTS SAILOR TO CREATE PERFORMANCE VECTOR SCORE FOR 5 VECTOR MODEL*

```
COMPUTE avgperct = MEAN(prsa1998 + prsa1999 + prsa2000 + prsb2001 + prsb2002)
  / 5 .
VARIABLE LABELS avgperct '5 YEAR AVERAGE PERCENTILE SCORE' .
DESCRIPTIVES
  VARIABLES=avgperct
  /STATISTICS=MEAN MIN MAX .
FILTER OFF.
USE ALL.
```

- *AVERAGES PERFORMANCE OVER LAST FIVE YEARS FOR SELECTED SAILOR*

		Std. Deviation	9.89999	9.49600	8.92886	10.60157	10.51434
Total	SAILOR	N	1	1	1	1	1
		Mean	43.9849	63.8362	74.5100	43.9286	52.0760
		Std. Deviation	.	.	.	.	.
	PEER GROUP	N	19	24	28	12	16
		Mean	50.3166	49.4235	49.1246	50.5059	49.8702
		Std. Deviation	10.17053	9.78149	8.98106	10.26940	10.31317
	Total	N	20	25	29	13	17
		Mean	50.0000	50.0000	50.0000	50.0000	50.0000
		Std. Deviation	10.00000	10.00000	10.00000	10.00000	10.00000

Descriptives

Descriptive Statistics

	N	Minimum	Maximum	Mean
5 YEAR AVERAGE PERCENTILE SCORE	2	51.16	73.60	62.3794
Valid N (listwise)	2			

Promotion Algorithm Study

Professional Development

Personal Development

Leadership

Certifications & Qualifications

Performance

Vector Quotient

Performance Mark Average

Advancement Potential

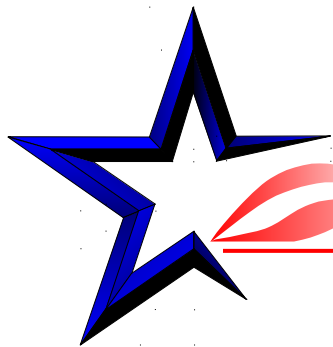| Order of Advancement	
1	
2	
3	
4	
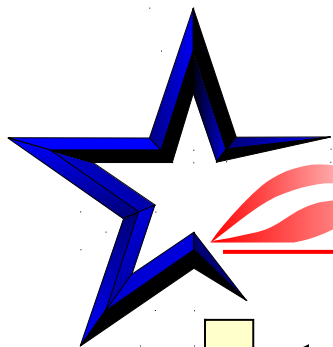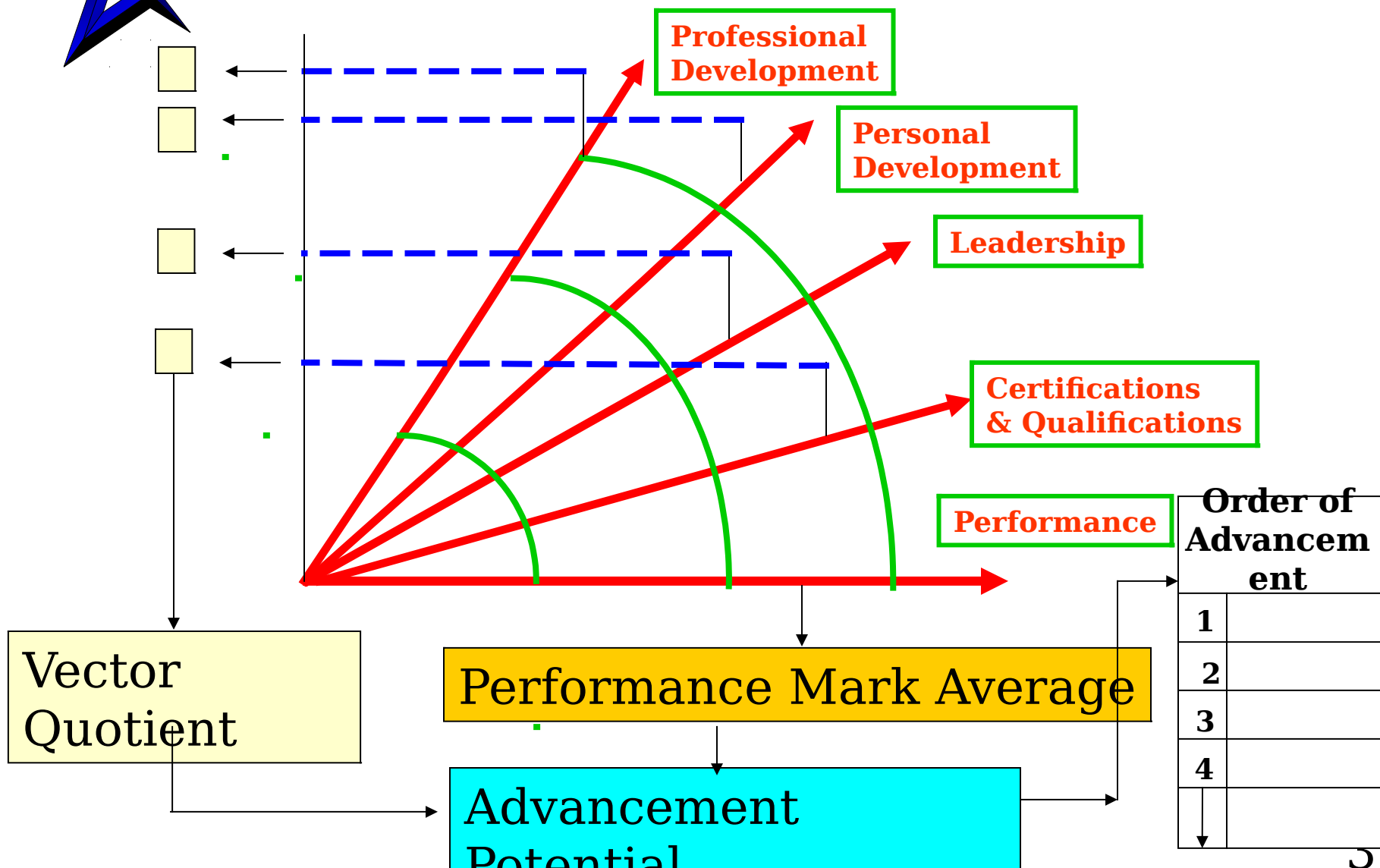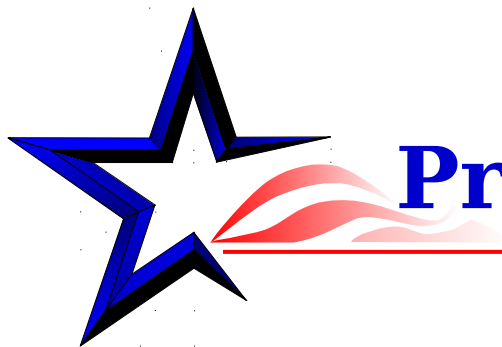
Promotion Algorithm Study

Vector	Enlisted Level 1 Recruit to Apprentice (Percent)[1]	Enlisted Level 2 Apprentice to Journeyman (Percent)[2]	Enlisted Level 3 Journeyman to Master (Percent)[3]
Professional Development	17.78	10.62	9.33
Personal Development	1.98	3.47	2.60
Leadership	12.26	31.26	41.23
Certifications/Qualifications	9.99	10.05	6.09
Performance	57.99	44.60	40.75

Promotion Algorithm Study

SYSTEM REQUIREMENTS

- NSIPS / PeopleSoft needs a "statistical engine."

  * One-time purchase of software for entire personnel system…about 53 cents a Sailor.

- NSIPS only contains data on E5 and above.

  * Data mandate for E4 and below for AG, IT, & MS pilots for "quick win."

- Develop strategic communication plan with NPDC.

  * Let Sailors know this is an improvement in the Navy's HR system.

  * Promotion algorithm is next step.
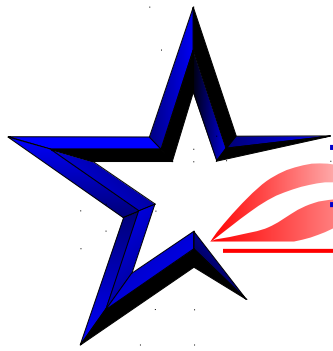
Promotion Algorithm Study

- "Data Call" from all 5 Vectors.

  - Vector definitions, metrics and strategic direction.

- Policy Capturing Study with Senior Leadership.

- Develop scoring algorithm with SMEs at "Centers."

  - Requires KSAs, professional milestones, certifications and qualifications and career path.

- Final validation using statistical modeling from past Service Records.

3